

PTO/SB/05 (03-01)

Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | |
|---|-------------------------|---|
| UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small> | Attorney Docket No.: | 1928.PC |
| | First Inventor: | Cao et al. |
| | Title: | Starch-Oil Composites For Use In Personal Care Applications |
| | Express Mail Label No.: | EL569393668US |

JC997 U.S. PTO
09/873505
06/04/01

| | |
|---|--|
| APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents | ADDRESS TO: Commissioner for Patents Box Patent Application Washington, DC 20231 |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing) 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 3. <input checked="" type="checkbox"/> Specification [Total Pages <u>19</u>] (preferred arrangement set forth below) - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or computer program listing appendix - Background of the invention - Brief Summary of the invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets <u> </u>] 5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages <u>2</u>] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). 6. Application Data Sheet. See 37 CFR 1.76 | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies |
| ACCOMPANYING APPLICATION PARTS 9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee) 11. <input checked="" type="checkbox"/> English Translation Document (if applicable) 12. <input checked="" type="checkbox"/> Information Disclosure <input checked="" type="checkbox"/> Copies of IDS Statement (IDS)/PTO-1449 Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. <input type="checkbox"/> Nonpublication Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input type="checkbox"/> Other | |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a Preliminary Amendment, or in an Application Data Sheet under 37 CFR 1.76:
☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of prior application No. /
 Prior application information: Examiner Group/Art Unit:
 For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an Oath or Declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying Continuation or Divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

| | | | | | |
|--|--|------------|-----------------------------------|----------|--------------|
| 19. CORRESPONDENCE ADDRESS <input type="checkbox"/> Customer Number or Bar Code Label or <input checked="" type="checkbox"/> Correspondence address below (Insert Customer No. or Attach bar code label here) | | | | | |
| Name | Thomas F. Roland | | | | |
| Address | NATIONAL STARCH AND CHEMICAL COMPANY 10 Finderne Avenue | | | | |
| City | Bridgewater | State | New Jersey | Zip Code | 08807-0500 |
| Country | U.S.A. | Telephone: | 908-685-5127 | Fax: | 908-707-3706 |
| Name (Print/Type) | Thomas F. Roland | | Registration No. (Attorney/Agent) | | 42,110 |
| Signature | <i>Thomas F. Roland</i> | | Date | | June 4, 2001 |

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

Complete if Known

TOTAL AMOUNT OF PAYMENT (\$)
746.00

Application Number
Filing Date June 4, 2001
First Named Inventor Hongjie Cao
Examiner Name
Group Art Unit
Attorney Docket No. 1928.PC

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number 14-0455
- Deposit Account Name
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status See 37 CFR 1.27
2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|----------|----------|------------------------|----------|
| 101 | 201 | 710 355 | | Utility filing fee | 710.00 |
| 106 | 206 | 320 160 | | Design filing fee | |
| 107 | 207 | 490 245 | | Plant filing fee | |
| 108 | 208 | 710 355 | | Reissue filing fee | |
| 114 | 214 | 150 75 | | Provisional filing fee | |

SUBTOTAL (1) (\$)
710.00

2. EXTRA CLAIM FEES

Total Claims 22 -20** = 2 X 36.00 = 36.00

Independent Claims 2 -3** = 0 X 0 = 0

Multiple Dependent

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|----------|----------|--|----------|
| 103 | 203 | 18 9 | | Claims in excess of 20 | |
| 102 | 202 | 80 40 | | Independent claims in excess of 3 | |
| 104 | 204 | 270 135 | | Multiple dependent claim, if not paid | |
| 109 | 209 | 80 40 | | ** Reissue independent claims over original patent | |
| 110 | 210 | 18 9 | | ** Reissue claims in excess of 20 and over original patent | |

SUBTOTAL (2) (\$)
36.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|---------------|----------|--|----------|
| 105 | 205 | 130 65 | | Surcharge - late filing fee or oath | |
| 127 | 227 | 50 25 | | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 139 | 130 130 | | Non-English specification | |
| 147 | 147 | 2,520 2,520 | | For filing a request for ex parte reexamination | |
| 112 | 112 | 920* 920* | | Requesting publication of SIR prior to Examiner action | |
| 113 | 113 | 1,840* 1,840* | | Requesting publication of SIR after Examiner action | |
| 115 | 215 | 110 55 | | Extension for reply within first month | |
| 116 | 216 | 390 195 | | Extension for reply within second month | |
| 117 | 217 | 890 445 | | Extension for reply within third month | |
| 118 | 218 | 1,390 695 | | Extension for reply within fourth month | |
| 128 | 228 | 1,890 945 | | Extension for reply within fifth month | |
| 119 | 219 | 310 155 | | Notice of Appeal | |
| 120 | 220 | 310 155 | | Filing a brief in support of an appeal | |
| 121 | 221 | 270 135 | | Request for oral hearing | |
| 138 | 138 | 1,510 1,510 | | Petition to institute a public use proceeding | |
| 140 | 240 | 110 55 | | Petition to revive - unavoidable | |
| 141 | 241 | 1,240 620 | | Petition to revive - unintentional | |
| 142 | 242 | 1,240 620 | | Utility issue fee (or reissue) | |
| 143 | 243 | 440 220 | | Design issue fee | |
| 144 | 244 | 600 300 | | Plant issue fee | |
| 122 | 122 | 130 130 | | Petitions to the Commissioner | |
| 123 | 123 | 50 50 | | Processing fee under 37 CFR 1.17(q) | |
| 125 | 125 | 180 180 | | Submission of Information Disclosure Stmt | |
| 581 | 581 | 40 40 | | Recording each patent assignment per property (times number of properties) | |
| 146 | 246 | 710 355 | | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 249 | 710 355 | | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 279 | 710 355 | | Request for Continued Examination (RCE) | |
| 169 | 169 | 900 900 | | Request for expedited examination of a design application | |

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

| Name (Print/Type) | Registration No. (Attorney/Agent) | Telephone | Date |
|-------------------|-----------------------------------|--------------|--------------|
| Thomas F. Roland | 42,110 | 908-685-5127 | June 4, 2001 |
| Signature | | | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.